



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/776,162	02/02/2001	Frank Beurskens	P05556US01	5528

22885 7590 02/16/2006

MCKEE, VOORHEES & SEASE, P.L.C.  
801 GRAND AVENUE  
SUITE 3200  
DES MOINES, IA 50309-2721

EXAMINER
----------

NGUYEN, NGA B

ART UNIT	PAPER NUMBER
----------	--------------

3628

DATE MAILED: 02/16/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/776,162

Applicant(s)

BEURSKENS, FRANK

Examiner

Nga B. Nguyen

Art Unit

3628

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 28 September 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-29 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-29 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. This Office Action is in response to the communication filed on September 27, 2005, which paper has been placed of record in the file.
2. Claims 1-29 are pending in this application.

### ***Response to Arguments/Amendment***

3. Applicant's arguments with respect to claims 1-29 have been considered but are moot in view of new grounds of rejection.
4. Applicant's amendment necessitated the new grounds of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1-29 are rejected under 35 U.S.C. 103(a) as being unpatentable over Grosh et al (hereinafter Grosh), U.S. Patent No. 6,195,646.

Regarding to claim 1, Grosh discloses a computer-implemented method of pricing a commodity, comprising:

(a) selecting, by entry into a computer by the first party, a predetermined market factor selected from the group consisting of a predetermined time factor, a predetermined price factor, a predetermined trend factor, a predetermined market status factor, and a predetermined market control factor (figures 4-5 and column 7, lines 27-50; VOLUME, TIMELY, PRIOR, DELIVERY, and DEMAND factors);

(b) determining at a first time period during the pricing period at least one of a first market condition selected from the group consisting of a first time condition, a first price condition, a first trend condition, a first market status condition, and a first market control condition (figure 3 and column 7, lines 3-27; e.g. using normal model);

(c) providing a formula capable of comparing said predetermined market factor to said first market condition to determine the existence of a favorable pricing condition

for a first portion of the predetermined quantity of the commodity (column 9, line 60-column 11, line 28; e.g. applying the everyday pricing model 20E);

(d) applying said formula to said predetermined market factor and said first market condition during the pricing period to determine the existence of a first favorable pricing condition (column 9, line 60-column 11, line 28; e.g. applying the everyday pricing model 20E);

(e) pricing a first portion of the predetermined quantity of the commodity at the market price established at that time by the market, when said application of said formula to said predetermined market factor and said first market condition indicates the existence of said first favorable pricing condition, and storing the pricing of the first portion in a computer (column 9, line 60-column 11, line 28; e.g. applying the everyday pricing model 20E);

(f) determining at a second time period during the pricing period a second market condition selected from the group consisting of a second time condition, a second price condition, a second trend condition, a second market status condition and a second market control condition, and communicating the first market condition to a computer (figures 2-3 and column 6, lines 20-35; e.g. applying weekend pricing model 20C);

(g) applying with a computing device said formula to said predetermined market factor and said second market condition during the pricing period to determine the existence of a second favorable pricing condition (figures 2-3 and column 6, lines 20-35;

e.g. applying weekend pricing model 20C and column 9, line 60-column 11, line 28);  
and

(h) pricing a second portion of the predetermined quantity of the commodity when said application of said formula to said predetermined market factor and said second market condition indicates the existence of said second favorable pricing condition, and soign the pricing of the second portion in a computer (figures 2-3 and column 6, lines 20-35; e.g. applying weekend pricing model 20C and column 9, line 60-column 11, line 28).

Grosh does not disclose pre-setting, in a contract pricing condition acceptable to a first party to the contract, wherein the contract defined a pricing period and is with a second party for future delivery of a predetermined quantity of an agricultural commodity, and wherein the commodity will have a future, unknown, periodic market price not controlled by the first party but established by a market for the commodity, and the future pricing of different portions of the predetermined quantity of the commodity by criteria input by and acceptable to the fist party are built into the contract for future delivery of the commodity at the formation of the contract, event though the future pricing will be controlled by the market, and not the first party. However, such features are well known in the art of conducting future contracts between first party and second party. Therefore, it would have been obvious to one with ordinary skill in the art at the time the invention was made to apply Grosh's model in determining the price of a commodity in a future contract purpose of providing more efficiency for determining the price of a commodity in a future contract.

Regarding to claim 2, Grosh further discloses receiving information from a supplier of the commodity information relating to a specific type and amount of the commodity which said supplier is willing to supply (column 7, lines 7, lines 28-49; the supplier set a plurality of the dimensional aspects and factors).

Regarding to claim 3, Grosh further discloses generating a contract for pricing of said specific type and amount of the commodity by said supplier (column 8, lines 22-67; the purchaser generates a contract for pricing).

Regarding to claim 4, Grosh further discloses generating a contract for the pricing of said specific type and amount of the commodity according to the formula (column 8, lines 22-67).

Regarding to claim 5, Grosh further discloses wherein said information is received from said supplier across a global computer network (column 3, lines 35-45).

Regarding to claim 6, Grosh further discloses automatically pricing said first portion of the commodity across a computer network when said application of said formula to said predetermined market factor and said first market condition indicates the existence of said first favorable pricing condition (column 14, line 60-column 15, lines 10; dynamically a plurality of dimensions to each of pricing models done automatically by computer program code).

Regarding to claim 7, Grosh further discloses wherein said computer network is a global computer network (column 3, lines 35-45; the Internet).

Regarding to claim 8, Grosh further discloses: (a) providing a computer with a database; (b) storing said predetermined market factor and said formula on said

database determining at least ten time periods and related market conditions selected from the group consisting of a related time condition, a related price condition, a related trend condition, a related market status condition and a related market control condition; (d) applying said computer to said predetermined market factor and said related market conditions to determine the existence of favorable pricing conditions, and pricing quantities of the commodity when said computer indicates the existence of said favorable pricing conditions (figure 1 and column 3, lines 35-45; server computers 14).

Regarding to claim 9, Grosh further discloses wherein said predetermined market factor is a predetermined time factor, wherein said first market condition is a first time condition, wherein said second market condition is a second time condition, further comprising pricing a first quantity of the commodity when said first market condition is met, and pricing a second quantity of the commodity when said second market condition is met (figure 5; Timely and Volume factors).

Regarding to claim 10, Grosh further discloses wherein said first time condition is a trading day, and wherein said second time condition is the next consecutive trading day, and wherein said first quantity of the commodity is equal to said second quantity of the commodity (figure 5; applying the everyday pricing model 20E).

Regarding to claim 11, Grosh further discloses wherein said first time condition is a trading day, and wherein said second time condition is the next consecutive trading day, and wherein said first quantity of the commodity is different than said second quantity of the commodity (figure 5; applying the everyday pricing model 20E).



Regarding to claim 12, Grosh further discloses wherein said predetermined market factor is a predetermined trend factor comprising historical prices correlated with predetermined periods of time (column 9, lines 28-50).

Regarding to claim 13, Grosh further discloses pricing a larger portion of the commodity during a first time period associated with historically higher prices, and a smaller portion of the commodity during a second time period associated with historically lower prices (column 10, lines 33-50).

Regarding to claims 14 and 15, Grosh further discloses wherein said predetermined market factor is a predetermined trend factor comprising an algorithm capable of identifying said market price trends and identifying variances from said market price trends. (column 4, lines 10-21).

Regarding to claim 16, Grosh further discloses wherein said first favorable pricing condition is a variance from said market price trends greater than a predetermined amount (column 10, lines 7-50).

Regarding to claim 17, Grosh further discloses wherein said first favorable pricing condition is a failure of an upward market price trend to continue to grow by a predetermined factor (column 10, lines 7-50).

Regarding to claims 18 and 19, Grosh further discloses wherein said predetermined market factor is a predetermined market status factor related to the volatility of a market and wherein said first favorable pricing condition is a condition wherein said volatility of said market exceeds a predetermined factor (column 7, lines 62-67).

Regarding to claim 20, Grosh does not disclose wherein said predetermined market factor is a predetermined market control factor related to a global climate in a predetermined geographic region at a predetermined time. However, the market control factor related to a global climate in a predetermined geographic region is well known in the art. Therefore, it would have been obvious to one with ordinary skill in the art at the time the invention was made to modify Grosh's to include the climate factor for the purpose of providing more efficiency for determining the price of a commodity.

Claims 21-24 contain similar limitations found in claims 1, 2, 4, 5 above, therefore, are rejected by the same rationale.

Regarding to claim 25, Grosh does not disclose executing said contract with digital signatures. However, the use of digital signatures in executing contract is well known in the art. Therefore, it would have been obvious to one with ordinary skill in the art at the time the invention was made to modify Grosh's to include the feature above for the purpose of enhancing the security in executing a contract.

Regarding to claims 26 and 27, Grosh further discloses wherein said time periods are at least five consecutive trading days of a commodity market and pricing said portions of the commodity on at least five different days (figure 5; applying the everyday pricing model 20E).

Regarding to claim 28, Grosh discloses a system for contracting for the pricing of a commodity over a network comprising: (a) a server; (b) a remote terminal; (c) a communication link between said server and said remote terminal; (d) means coupled to said server for receiving form a supplier, across said communication link, information

Art Unit: 3628

relating to a specific type and quantity of the commodity (figure 1 and column 3, lines 35-45; server computers 14, remote terminals 10 and 12; transmission wires 12); (e)-(i) contain similar limitations found in claim 1 above.

Claim 29 contains similar limitations found in claim 1 above, therefore, are rejected by the same rationale.

***Conclusion***

7. Claims 1-29 are rejected.

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to examiner Nga B. Nguyen whose telephone number is (571) 272-6796. The examiner can normally be reached on Monday-Thursday from 9:00AM-6:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyung S. Sough can be reached on (571) 272-6799.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 306-1113.

9. Any response to this action should be mailed to:

Commissioner of Patents and Trademarks

C/o Technology Center 3600

Washington, DC 20231

Or faxed to:

Art Unit: 3628


(703) 872-9306 (for formal communication intended for entry),

or

(571) 273-0325 (for informal or draft communication, please label  
"PROPOSED" or "DRAFT").

Hand-delivered responses should be brought to Knox Building, 501 Dulany  
Street, Alexandria, VA, First Floor (Receptionist).

Nga B. Nguyen

A handwritten signature in cursive script that reads "Nga B. Nguyen".

December 1, 2005